Attachment 2

Taking ISM to the Next Level – Removing the Barriers to Success

Each of the breakout sessions will be utilized to develop a path forward on each of the four initiatives identified to contribute to taking ISM to the next level. The panelists will provide an overview of each initiative and the objectives to the breakout session attendees. An open discussion will follow with the panel seeking input and recommendations on implementation strategies and a path forward. On the second day, the panel chairpersons will present the strategies and recommended path forward, lead discussion and respond to questions, and select a senior manager to serve as a champion for each of the four strategies.

Breakout Session 1 – Coordination and integration of DOE line and independent oversight and contractor self-assessment.

Chairperson: Milton Johnson, Acting Director, Office of Science
Kathleen Carlson, Manager, Nevada Operations Office
D C McGraw, Director, Environment, Health and Safety Division, LBNL
Glenn Podonsky, Director, Office of Independent Oversight and Performance Assurance
Kenneth Powers, Kaiser-Hill Company, RFETS

DOE Policy 450.5, *Line Environment, Safety, and Health Oversight*, recognizes a robust, rigorous, and credible contractor self-assessment program as the cornerstone of oversight and DOE safety management. This session will focus on initiatives designed to strengthen contractor self-assessment programs and the contribution to ISM, transitioning DOE oversight primarily to monitoring performance metrics and contractor self-assessment, and coordinating and integrating DOE line and independent oversight to reduce layers and impact and improve contribution to ISM.

- Reducing layers and redundancy in DOE oversight. This session element discussion will focus on opportunities to improve the coordination and integration of DOE independent and line oversight including the potential for coordinating scope as well as conducting joint reviews.

- Coordinating line and independent oversight schedules. This session element discussion will focus on opportunities to improve the coordination of independent and line oversight schedules through integrated planning to reduce impact and redundancy and provide an increased added value to ISM implementation.

- Voluntary accreditation of contractor self-assessment programs. This session element discussion will focus on the use of a voluntary accreditation process as an incentive for improving self-assessment programs and capabilities and facilitating a transition of DOE oversight in accordance with DOE Policy 450.5.

- Focusing DOE oversight on contractor self-assessment and performance indicators versus direct oversight of workers. This session element discussion will focus on the transition of DOE independent and line oversight on monitoring contractor self-assessment and performance metrics and validation appraisals in accordance with DOE Policy 450.5.

Breakout Session 2 – Tailoring requirements, standards, and authorization bases to changing DOE missions and hazards to facilitate innovative cleanup approaches and operational efficiency, reduce time at risk, and assure protection of our workers.

Chairperson: Richard Glass, Manager, Albuquerque Operations Office
Richard Black, Director, Office of Nuclear and Facility Safety Policy
William Madia, Director, Oak Ridge National Laboratory
Alan Parker, President, Kaiser-Hill Company, Rocky Flats
C. Bruce Tarter, Director, Lawrence Livermore National Laboratory

Requirements and controls intended to assure the protection of the public, workers, and the environment from hazards associated with facility operations may not translate well to the unique hazards and activities associated with decontamination and decommissioning (D&D) and cleanup. As we have seen in recent serious events and accidents, the recovery, characterization, and stabilization of hazardous materials and D&D of facilities present unique hazards to workers that need to be analyzed and carefully controlled. This session will explore opportunities to more effectively tailor requirements to these unique activities and hazards, assuring an effective safety margin, increasing efficiency, and reducing time at risk in all phases of D&D and environmental cleanup.

- Eliminating redundancy between DOE orders and existing industry standards. Redundancy between DOE requirements and applicable industry standards has been criticized as adding a layer of complexity that adds to confusion, a failure to understand or properly implement requirements, and delaying cleanup activities and increasing time at risk. Pilots are underway at Sandia and Fernald to crosswalk this overlap and eliminate unnecessary redundancy in the DOE requirements. This session element discussion will focus on increased applications of these efforts.

- Developing D&D authorization bases that are tailored and in a format that is easy to generate, approve, and apply. This session element discussion will flow on the generation of D&D authorization bases that focus up-front on the D&D work to be done, the unique hazards involved, technologies and methodologies to be used, and the systems and controls necessary to protect workers and maintain the necessary safety margin throughout the project duration.

- Establishing non-prescriptive performance objectives and allow contractors to develop D&D or cleanup plans to meet these objectives. This session element discussion on a "licensing" approach that establishes non-prescriptive objectives or license conditions has been successful in the United Kingdom. It provides the contractor with more flexibility to make full and effective use of their experience, expertise, and innovative technologies while assuring the protection of our workers and communities.

- Simplifying process for downgrading the hazard classification of a facility in the D&D process. This session element discussion will focus on defining a process that would pre-identify the point in the D&D plan at which the reduction in hazard would allow a downgrading of a facility hazard categorization, eliminating unnecessary restrictions and requirements that can detract from D&D efficiency, and increase time at risk.

- Maintaining Federal and contractor technical capabilities. Deficient and declining Federal and contractor technical resources have been a long-standing concern and the subject of a Defense Nuclear Facilities Safety Board recommendation and recent letter. This problem threatens to worsen as many of our technical resources approach retirement age or seek external employment in the face of a defined life for our shutdown sites and facilities. This session will focus on new and innovative approaches to recruit and retain essential technical resources and the highest caliber people.

Breakout Session 3 – Improving the contribution of operating experience, performance monitoring and analysis, and lessons learned to integrated safety management.

Chairperson: Denny Ruddy, President and General Manager, BWXT, Pantex
Everet Beckner, National Nuclear Security Administration
Paul Golan, Chief of Staff, Office of Environmental Management
Bob Pedde, President, Westinghouse Savannah River Company, SR
Keith Christopher, Director, Office of Price-Anderson Enforcement
Charles Shank, Director, Lawrence Berkeley National Laboratory

Serious accidents, repetitive events, and near misses over recent years indicate a failure of DOE and its contractor to fully benefit from operating experience and the lessons learned. This session will focus on new approaches to improving our ability to capitalize on our operating experience in improving the implementation of ISM; monitoring real-time performance and trends; prioritizing resources; and sharing success, exemplary programs, and noteworthy practices.

- Revising the Occurrence Reporting and Processing System (ORPS) to the framework of ISM to assure systemic improvements, a common language for lessons learned, and direct ISM performance indicators. Line management has long criticized the DOE ORPS for requiring a significant amount of input effort while returning very little value in return. This session will explore an overhaul of the ORPS to make it more user-friendly and to link it to the ISM core functions and principles to assure systemic safety management improvements rather than focusing on symptoms of events and accidents.

- Performance metrics development and analysis. This session will discuss the development of an improved set of performance metrics and analysis processes that will improve performance monitoring, the proactive identification and resolution of adverse trends, and DOE's capability to effectively monitor contractor safety management and performance and achieve accountability with less need to directly observe field work and safety.

- Taking a collaborative, corporate approach to solving generic performance problems. Many of the safety management performance issues facing the Department (e.g., our aging infrastructure, procedure quality and use, declining technical capabilities, and quality assurance) are long-standing and generic. Since most of the actions to address these issues have often been fragmented and inefficient, this session will explore ways in which we might better employ our collective expertise and capabilities to solve these issues.

- Improve sharing of successful programs, noteworthy practices, innovative initiatives, and lessons learned. One of the most frequently asked questions across the DOE complex is who has a good program or has solved this problem? This session element will focus on methodologies or approaches for improving the identification and dissemination of operating experience, successes, and exemplary programs and the positive contribution to effective ISM implementation.

- Establish a complex-wide color rating system to assist in focusing management attention and resources. A plethora of performance information, rapidly changing conditions and performance trends, an aging infrastructure, and external oversight and pressures can make the effective prioritization of resources and management attention extremely challenging within DOE. This session element will explore the application of a performance monitoring system that has been effectively utilized by commercial nuclear utilities and the Nuclear Regulatory Commission. This system utilizes color ratings not only to efficiently prioritize management attention and resources, but also to recognize improvements and good performance, create constructive competition, and drive continuous improvement in safety management and performance.

Breakout Session 4 – Improving the contribution of contracts and subcontracts to the effective implementation of ISM.

Chairperson: Keith Klein, Manager, Richland Operations Office
Hermann Grunder, Director, Argonne National Laboratory
Richard Hopf, Director, Office of Procurement and Assistance Management
Joe Nemec, President, Bechtel Jacobs Company, LLC, OR
Mark Whitaker, Departmental Representative to the DNFSB

While we have made progress toward contracts and subcontracts that are performance-based, incorporate ISM, and achieve a higher level of accountability, some of these mechanisms still lack the level of specificity and clarity necessary to assure effective safety management and performance. This breakout session will explore methodologies of more effectively employing contracts and subcontracts to manage safety, improve safety performance and accountability, assure understanding of DOE requirements and expectations, and support a DOE oversight approach that is less intrusive but more effective.

- Replacing the standard ISM clause in some contracts and subcontracts with more specific and measurable ISM requirements and metrics. Some of our contracts and subcontracts continue to employ a generic ISM clause that does not adequately assure understanding or implementation of ISM or effective performance metrics accountability. This session element will explore methodologies to improve contract and subcontract ISM language and performance metrics including consideration of noteworthy examples already in place.

- Applying ISM to writing performance-based contracts. Performance-based contracts are essential to the implementation of ISM, the ability to effectively monitor safety management and safety performance, and to achieve accountability. This session element will focus on opportunities to more effectively incorporate ISM principles and core functions into performance-based contracts and subcontracts and the selection of highly qualified contractors and subcontractors.

- ISM implementation in construction and operating contracts and subcontracts. Layers of subcontractors are conducting an increasing amount of DOE work and activities associated with decommissioning, cleanup, and new construction. Given the short-term nature of many of these subcontracts and the relative independence of the subcontractors, as well as recent accidents and events involving subcontractors, this session element will focus on how to better employ and administer contracts and subcontracts to assure that all of this work is conducted safely within the envelope of ISM.

- Focusing DOE oversight on contracts and accountability for performance. One of the most common complaints complex-wide is the multiple layers of DOE project, line, and independent oversight that focus on actual work and safety in the field. This level of direct oversight of workers is viewed as a distraction, detracting from efficiency, and as redundant to contractor self-assessment. This session element will explore methodologies for transitioning DOE oversight more to the effective contract administration and use of performance metrics and appropriate validation appraisals in accordance with DOE Policy 450.5.